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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|

09/770,943

~~09/20/2001~~

8/25/2001

1646

1115

~~6548~~~~173US1~~

UCAL173CON

5

29

13

CONFIRMATION NO. 8209

## FILING RECEIPT



\*OC00000006428885\*

Paula A. Borden  
BOZICEVIC, FIELD & FRANCIS LLP  
Suite 200  
200 Middlefield Road  
Menlo Park, CA 94025

Date Mailed: 08/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Eyal Raz, Del Mar, CA;  
Mark Roman, San Diego, CA;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/092,314 06/05/1998 PAT 6,225,292  
WHICH CLAIMS BENEFIT OF ~~60/048,793~~ 06/06/1997

60/048,793

## Foreign Applications

If Required, Foreign Filing License Granted 08/15/2001

Projected Publication Date: To Be Determined - pending completion of Sequence Disclosures

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Inhibitors of DNA immunostimulatory sequence activity

RR8/23  
DOCKETED  
Carroll OFK  
(Filing date  
8/21/01)  
8/30/01

**Preliminary Class**

530

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**Data entry by :** PRASASOUK, NOUSALY

**Team :** OIPE

**Date:** 08/15/2001

|

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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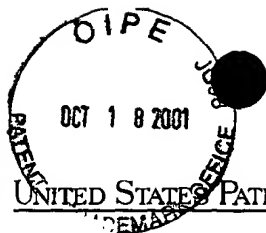
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- The docket number allows a maximum of 25 characters.
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- The title is recorded in sentence case.

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Customer Service Center  
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WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/770,943         | 01/26/2001          | Eyal Raz              | 6510-173US1            |

CONFIRMATION NO. 8209

## FORMALITIES LETTER



\*OC000000006428886\*

Paula A. Borden  
BOZICEVIC, FIELD & FRANCIS LLP  
Suite 200  
200 Middlefield Road  
Menlo Park, CA 94025

Date Mailed: 08/15/2001

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c) Applicant must provide an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).

For questions regarding compliance to these requirements, please contact:

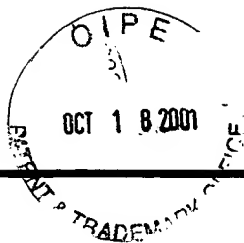
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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



**CERTIFICATION REGARDING SEQUENCE LISTING**

|                      |                  |
|----------------------|------------------|
| Application Number   | 09/770,943       |
| Confirmation Number  | 8209             |
| Filing Date          | January 25, 2001 |
| First Named Inventor | RAZ              |
| Examiner             | To Be Assigned   |
| Group Art            | 1646             |
| Attorney Docket No.  | UCAL173CON       |

ADDRESS TO: Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the enclosed Sequence Listing is being submitted in paper copy and on a computer-readable diskette, and that the content of the paper and computer readable copies are the same.

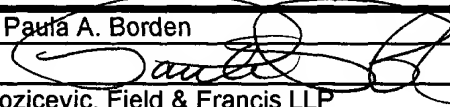
I hereby certify that the enclosed submission includes no new matter.

|                         |                                |           |                                 |     |       |
|-------------------------|--------------------------------|-----------|---------------------------------|-----|-------|
| Signature               |                                | Date      | 10-15-2001                      |     |       |
| Firm Name               | Bozicevic, Field & Francis LLP | Address   | 200 Middlefield Road, Suite 200 |     |       |
| City                    | Menlo Park                     | State     | California                      | zip | 94025 |
| Telephone - Direct Dial | (650) 833-7710                 | Facsimile | 650-327-3231                    |     |       |

**CERTIFICATE OF MAILING OR TRANSMISSION**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231.

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| Name (Print/Type) | Cindy Hoang | Signature |  | Date | 10-15-2001 |
|-------------------|-------------|-----------|--|------|------------|

|  |  |   |
|--|--|---|
| <input type="checkbox"/> Terminal Disclaimer   |  | Fee                                     |
| <input type="checkbox"/> Appeal to Board of Appeals and Appeal Communication to Group  |  |   |
| <input type="checkbox"/> Notice of Appeal  | Pages  | Fee                                     |
| <input type="checkbox"/> Appeal Brief in Triplicate  | Pages  | Fee                                     |
| <input type="checkbox"/> Reply Brief   | Pages  | Fee \$ -                                |
|  |  | Subtotal \$ -                           |
| <input checked="" type="checkbox"/> Other Enclosures and/or Fees   |  | Fee                                     |
| 1) Request to Correct Filing Receipt (1 pg.)   |  |   |
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| <b>SIGNATURE OF APPLICANT, ATTORNEY OR AGENT REQUIRED</b>  |  |   |
| Name (Print/Type)  | Paula A. Borden  | Registration No. 42,344                 |
| Signature  |  | Date 10-15-2001                         |
| Firm Name  | Bozicevic, Field & Francis LLP   | Address 200 Middlefield Road, Suite 200 |
| City   | Menlo Park   | State California zip 94025              |
| Telephone - Direct Dial  | 650-327-3400   | Facsimile 650-327-3231                  |

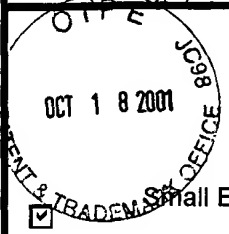
Application No. 09/770,943 Attorney Docket No. UCAL173CON Page 2 of 2

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Name (Print/Type) Cindy Hoang Signature Cindy Hoang Date 10-15-2001



## TRANSMITTAL

☒ Small Entity ☐ Large Entity

Application Number 09/770,943  
Confirmation Number 8209  
Filing Date January 25, 2001  
First Named Inventor RAZ  
Examiner To Be Assigned  
Group Art 1646  
Attorney Docket No. UCAL173CON

### ENCLOSED:

☐ Amendment Under Rule

☐ 37 CFR §

☐ Pages

Claims

No. of claims as  
filed or after  
amendment

Most claims  
previously paid  
for

# Extra Claims

Rate

Totals

Total

Independent

Multiple

Total Extra Claim Fees

\$ -

\$ -

\$ -

☐ Applicants Petition for an Extension of time from \_\_\_\_\_ to \_\_\_\_\_ Fee \_\_\_\_\_  
A \_\_\_\_\_ month extension was previously filed  
and paid for thereby reducing the basic  
fee

☐ Response to File Missing Parts (with copy of formalities letter)

☐ Filing Fee

Fee \_\_\_\_\_

☐ Executed Declaration

Pages \_\_\_\_\_

Surcharge Fee \_\_\_\_\_

☐ Other

Fee \_\_\_\_\_

Fee \_\_\_\_\_

Fee \_\_\_\_\_

Fee \_\_\_\_\_

Subtotal \$ -

☐ Information Disclosure Statement

☐ PTO Form 1449

Pages \_\_\_\_\_

☐ Copies of Cited References

☐ Other

Fee \_\_\_\_\_

Subtotal \$ -

☒ Response to Notice to Comply (with copy of Notice to Comply)

☒ Sequence Listing Certification

☒ Paper Copy of Sequence Listing

Pages 3

☒ Diskette in computer-readable format

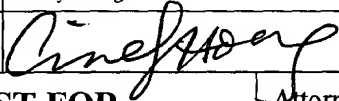
☐ Other

Fee \_\_\_\_\_



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| Typed or Printed Name   | Cindy Hoang   |                      |   |
| Signature   |  | Date                 | October 15, 2001  |
| <b>REQUEST FOR<br/>CORRECTED FILING<br/>RECEIPT</b><br><br>Address to:<br>Commissioner for Patents<br>Washington, D.C. 20231  |   | Attorney Docket      | UCAL173CON  |
|   |   | First Named Inventor | RAZ   |
|   |   | Application Number   | 09/770,943  |
|   |   | Filing Date          | January 25, 2001  |
|   |   | Group Art Unit       | 1646  |
|   |   | Examiner Name        | To Be Assigned  |
|   |   | Title                | Inhibitors of DNA<br>Immunostimulatory Sequence<br>Activity |

Sir:

A filing receipt for the above-identified patent application has been issued by the U.S. Patent and Trademark Office (copy attached) and has been found to contain the following error(s):

- (1) Filing Date should read -1/25/2001—(Copy of Mailing Receipt is enclosed) and
- (2) Atty Docket No. should read - UCAL173CON--and
- (3) The Continuing Data as claimed by Applicant should read --THIS  
APPLICATION IS A CON OF 09/092,314 06/05/1998 PAT 6,225,292  
WHICH CLAIMS BENEFIT OF 60/048,793 06/06/1997--

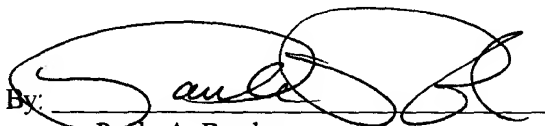
If for any reason a fee is found to be necessary, the Commissioner is authorized to charge such fee to Deposit Account No. 50-0815.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date:

Oct. 15, 2001

By:



Paula A. Borden  
Registration No. 42,344

BOZICEVIC, FIELD & FRANCIS LLP  
200 Middlefield Road, Suite 200  
Menlo Park, CA 94025  
Telephone: (650) 327-3400 Facsimile: (650) 327-3231

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